



3624

Docket No.
474712/0010

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: **Eugene L. Podsiadlo**

Group Art Unit: **3624**

Application No.: **10/279,483**

Examiner: **Not Yet Assigned**

Filed: **December 5, 2003**

For: **METHOD AND SYSTEM FOR AUCTIONING SHARES IN AN
INVESTMENT PRODUCT**

Date: **May 7, 2004**

CERTIFICATE OF MAILING
BY "FIRST CLASS MAIL" (37 C.F.R. § 1.8)

Commissioner for Patents
PO Box 1450
Alexandria, Virginia 22313-1450

Sir:

I hereby certify that the following correspondence:

Information Disclosure Statement (2 pp)

Information Disclosure Statement by Applicant - PTO/SB/08a Form - (3 pp)

Copy of International Search Report (5 pp)

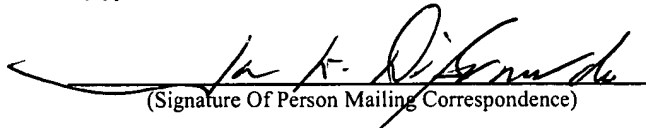
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Ian G. DiBernardo

(Typed Or Printed Name Of Person Mailing Correspondence)


(Signature Of Person Mailing Correspondence)



Docket No.
474712/0010
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Applicant: Eugene L. Podsiadlo

Group Art Unit: 3624

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PRODUCT

Date: May 7, 2004

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56 and in accordance with the practice under 37 C.F.R. §§ 1.97 and 1.98, the Examiner's attention is directed to the documents listed on the enclosed Forms PTO/SB/08a.

The Examiner's attention is also directed to the enclosed copy of the PCT International Search Report, dated January 10, 2002 issued in International Patent Application No. PCT/US01/29517, which is related to the present application.

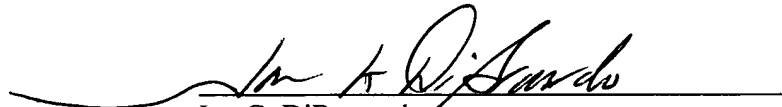
It is respectfully requested that the Examiner independently consider the cited information and that a copy of the enclosed Forms PTO/SB/08a (3 pages) be returned indicating that the references have been considered.

Although no fees for the filing of this Information Disclosure Statement are required because this Information Disclosure Statement is believed to be provided prior to the mailing of a first Office Action, Applicant hereby authorizes payment of any outstanding fees to be charged to Deposit Account No. 19-4709.

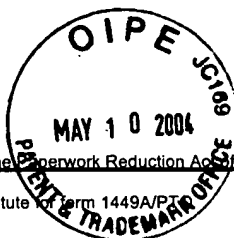
Serial No.: 10/279,483
Docket No.: 474712/0010

Early and favorable action is earnestly solicited. In the event that there are any questions, or should additional information be required, please do not hesitate to contact applicant's attorney at the number listed below.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Ian G. DiBernardo", is written over a horizontal line.

Ian G. DiBernardo
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PTO/SB/08a (08-03)

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Substitute Form 1449A/P

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 3**Complete if Known**

Application Number	<u>729</u> <u>10/279,483</u>
Filing Date	<u>December 5, 2003</u>
First Named Inventor	<u>Eugene L. Podsiadlo</u>
Art Unit	<u>3624</u>
Examiner Name	
Attorney Docket Number	<u>474712/0010</u>

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US- <u>6,260,024</u>	<u>07/10/2001</u>	<u>Shkedy</u>	
		US- <u>6,161,099</u>	<u>12/12/2000</u>	<u>Harrington et al.</u>	
		US- <u>6,021,398</u>	<u>02/01/2000</u>	<u>Ausubel</u>	
		US- <u>6,012,045</u>	<u>01/04/2000</u>	<u>Barzilai et al.</u>	
		US- <u>5,995,947</u>	<u>11/20/1999</u>	<u>Fraser et al.</u>	
		US- <u>5,924,082</u>	<u>07/13/1999</u>	<u>Silverman et al.</u>	
		US- <u>5,918,218</u>	<u>06/29/1999</u>	<u>Harris et al.</u>	
		US- <u>5,905,975</u>	<u>05/18/1999</u>	<u>Ausubel</u>	
		US- <u>5,905,974</u>	<u>05/18/1999</u>	<u>Faser et al.</u>	
		US- <u>5,890,138</u>	<u>03/30/1999</u>	<u>Godin et al.</u>	
		US- <u>5,835,896</u>	<u>11/10/1998</u>	<u>Fisher et al.</u>	
		US- <u>5,806,048</u>	<u>09/08/1998</u>	<u>Kiron et al.</u>	
		US- <u>5,794,219</u>	<u>08/11/1998</u>	<u>Brown</u>	
		US- <u>5,794,207</u>	<u>08/11/1998</u>	<u>Walker et al.</u>	
		US- <u>5,517,406</u>	<u>05/14/1996</u>	<u>Harris et al.</u>	
		US- <u>4,980,826</u>	<u>12/25/1990</u>	<u>Wagner</u>	
		US- <u>4,903,201</u>	<u>02/20/1990</u>	<u>Wagner</u>	
		US- <u>4,694,397</u>	<u>09/15/1987</u>	<u>Grant et al.</u>	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				

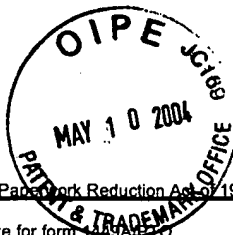
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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet 2 of 3**Complete if Known**

Application Number	10/279,483
Filing Date	December 5, 2003
First Named Inventor	Eugene L. Podsiadlo
Art Unit	3624
Examiner Name	
Attorney Docket Number	474712/0010

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		Number-Kind Code ² (if known)			
		US- 4,674,044	06/16/1987	Kalmus et al.	
		US- 4,346,442	08/24/1982	Musmanno	
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Sheet	3	of	3
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Complete if Known

Application Number	10/279,483
Filing Date	December 5, 2003
First Named Inventor	Eugene L. Podsiadlo
Art Unit	3624
Examiner Name	
Attorney Docket Number	474712/0010

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